


Appendix D

The Performance Agreement Form

DEPARTMENT OF THE TREASURY
UNITED STATES CUSTOMS SERVICE

PART 1 — EMPLOYEE INFORMATION

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1. NAME OF EMPLOYEE	2. RATING PERIOD COVERED 	From
3. POSITION TITLE/SERIES/GRADE		To
4. ORGANIZATION (Office, Division, Etc.)		
5. DUTY STATION		
6. REASON FOR RATING		
<input type="checkbox"/> Annual Rating of Record <input type="checkbox"/> Other (Specify) →		

PART 2 — CRITICAL PERFORMANCE AREAS

Area #1: Program/Mission Objectives—

Program Area-Expectations Are Met By:

[illegible]

(If needed, attach additional sheets)

PRIVACY ACT NOTICE: The information collected on this form, pursuant to Chapter 43, Title 5, U.S. Code, may be used to make determinations regarding employee job advancement, salary increases, awards, training, and retention in the job and grade. Information and comments obtained from the employee which are included on this form will not be disclosed outside the U.S. Customs Service without prior consent, except as required by OPM Regulations or permitted by law. The comments provided by the employee may be considered in conjunction with use of the form, which may include discussion and counseling regarding the employee's job performance. Copies of the form may be maintained by the servicing personnel office, the supervisor and the employee.

Area #2: Managerial and Supervisory Competencies

A. Competency Expectations are Met by:

(1) Business Practices Which Incorporate (Mark only those that apply):

- | | | |
|---|---|---|
| <input type="checkbox"/> technical competence | <input type="checkbox"/> strategic problem solving | <input type="checkbox"/> financial management |
| <input type="checkbox"/> planning & evaluation | <input type="checkbox"/> process improvement techniques | <input type="checkbox"/> management controls |
| <input type="checkbox"/> program measurement & analysis | <input type="checkbox"/> technology management | <input type="checkbox"/> service orientation |

(2) Leadership/Management Practices Which Promote (Mark only those that apply):

- | | | |
|---|---|---|
| <input type="checkbox"/> human resources management | <input type="checkbox"/> communication & feedback | <input type="checkbox"/> team building/teamwork |
| <input checked="" type="checkbox"/> EEO/diversity | <input type="checkbox"/> conflict management | <input type="checkbox"/> innovation/creative thinking |
| <input type="checkbox"/> employee development | <input type="checkbox"/> partnerships & collaboration | <input type="checkbox"/> safety |

(3) Values:

Accept and conduct responsibilities in accordance with formally issued Customs values, ethics and integrity guidelines.

B. Performance Agreement Certification:

This is to verify that we have met, discussed and understand expectations for the established performance appraisal period.

Rating Official's Signature and Date

Employee's Signature and Date

PART 3 — MID-YEAR REVIEW

Signatures indicate that a mid-year discussion has taken place. (Comments, attach as needed)

Rating Official's Signature and Date

Employee's Signature and Date

ANNUAL PROFICIENCY RATING:

Area #1: Program/Mission Objectives

7

7

Area #2: Managerial and Supervisory Competencies

□

7

- ### OVERALL SUMMARY RATING

Rating Official's Signature and Date

Employee's Signature and Date

Reviewer's Signature and Date
(Only necessary if employee performance is Unacceptable)

Comments:

GENERAL INSTRUCTIONS

■ Coverage — the Performance Agreement will be used by all employees in supervisory and managerial positions.

■ Critical area #1 is comprised of one or more program/mission objectives which are defined by the employee and the supervisor. Each objective statement (a minimum of one objective is required) should be succinct, and should include only those activities in which the employee will be directly involved. The statement(s) should be similar to the objective(s) in the supervisor's performance agreement and be specific to the employee's local work unit goals for the performance cycle.

■ Critical area #2 is comprised of 3 generic competencies considered relevant to all supervisory and managerial positions within the Customs Service—Business Practices, Leadership/Management Practices, and Values. Locally developed competency areas are NOT to be added to the core competencies for purposes of employee performance evaluations.

■ Definitions of Managerial and Supervisory Competencies:

(1) Business Practices (a minimum of one is required):

Technical competence—	Demonstrates technical proficiency and an understanding of its impact in areas of responsibility.
Planning and evaluation—	Establishes policies, guidelines, plans and priorities; identifies required resources; plans and coordinates with others; monitors progress and evaluates outcomes.
Program measurement & analysis—	Improves organizational efficiency and effectiveness through the identification of performance measures and analysis of results.
Strategic problem solving—	Recognizes and defines problems; analyzes relevant information; encourages alternative solutions and plans to solve problems.
Process improvement techniques—	Continuously seeks to improve work processes and applies appropriate analytic techniques.
Technology management—	Encourages staff to stay informed about new technology; applies new technologies to organizational needs; ensures staff is trained and capable.
Financial management—	Prepares and justifies budget; monitors expenses; manages procurement and contracting.
Management controls—	Ensures the integrity of the organization's processes; promotes ethical and effective practices.
Service orientation—	Actively seeks user input; ensures needs are met; continuously seeks to improve the quality of services and products.

(2) Leadership/Management Practices (a minimum of one is required):

Human resources management—	Ensures effective recruitment, selection, training, performance appraisal, recognition, and corrective/disciplinary action; promotes good labor relations and employee well-being.
EEO/diversity—	Recognizes the value of cultural, ethnic, gender, and other individual differences; provides employment and development opportunities for a diverse workforce (mandatory competency).
Employee development—	Encourages employees to assess their strengths and weaknesses and to participate in their own self-development.
Communication & feedback—	Effectively communicates orally and in writing; provides and seeks feedback from others.
Conflict management—	Anticipates & seeks to resolve confrontations, disagreements, and complaints in a constructive manner.
Partnerships & collaboration—	Networks with, and provides information to, key groups and individuals; appropriately uses negotiation, persuasion, and authority in dealing with others to achieve goals.
Team building/teamwork—	Fosters cooperation, communication, and consensus among groups.
Innovation/creative thinking—	Develops insights and solutions; fosters innovation among others.
Safety—	Provides a safe working environment.

■ The generic competencies and program/mission objectives are intended to serve as the framework for joint discussions between the rater and ratee at the 3 types of meetings throughout the year, which are as follows: 1) Performance planning meeting; 2) Ongoing review meetings; and 3) Annual Proficiency Review Meeting. The performance planning session should result in a common understanding of the expectations for individual performance.

■ Throughout the performance cycle, the rater and ratee should meet frequently to conduct "ongoing reviews," to discuss the ratee's performance to date. At a minimum, at least one ongoing review will be conducted within the sixth or seventh month of the performance cycle.

■ Employees who change positions, on a permanent basis, should repeat the performance planning meeting to establish new objectives and determine which competencies apply. Employees on extended details may also modify their plans, as appropriate.

■ At the end of the review year, the rater and ratee will meet to discuss the ratee's performance and achievements throughout the year. The Annual Proficiency Rating is determined by the rater as part of the final review. The attached optional worksheet may be utilized by the ratee in preparation for this joint discussion. See the attached worksheet for further instructions.

■ Deficiencies in performance should be recognized and their causes determined as soon as they become evident. An Employee Proficiency Plan (EPP) should be issued where deficiencies continue. An Unacceptable proficiency rating may not be given to the ratee prior to the ratee having completed the EPP, which at a minimum must be 60 days.

■ No supplemental or departure ratings are required. An employee is presumed successful unless an EPP exists.

■ Evaluation for Newly Appointed Managers and Supervisors: An employee serving a probationary period as a newly appointed manager or supervisor must be reviewed twice during the probationary period on the applicable Management and Supervisory Competencies: by the end of the 6th month and by the end of the 11th month after entering the position. If the 6th month or 11th month review leads to a negative recommendation (regarding retention in the supervisory position), the supervisor should contact a Labor & Employee Relations Specialist for guidance. (Customs Form 270 is now obsolete.)

PURPOSE:

WHEN TO USE:

HOW TO USE:

SUPERVISORY RESPONSIBILITIES:

WORKSHEET

1. My Areas of Strengths and Accomplishments:

[illegible]

This image shows a single sheet of white paper with horizontal blue or grey ruling lines, typical of notebook paper. The lines are evenly spaced and run across the width of the page. There are no margins, text, or other markings on the paper.

OPTIONAL PROCESS IMPROVEMENT WORKSHEET

PURPOSE:

The Customs Service is interested in your ideas about improving the work processes and procedures you currently utilize in your job. Please list your ideas for improvement below and discuss them with your supervisor.

In what way(s) can existing work process be improved:

(If needed, attach additional pages)

Submitted By

Date _____

(PLEASE DETACH and SUBMIT TO YOUR SUPERVISOR)

